

Receipt date: 03/10/2009

10565484 - GAU: 1623

# **EXHIBIT A**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**Complete if Known****INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet	1	of	2	Attorney Docket Number	639-C-PCT-US
-------	---	----	---	------------------------	--------------

**OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/ESO/	1	Chinese Office Action, October 31, 2008, for SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH, Chinese Application No. 200480020356.6 (Atty. Dkt. #639-C-PCT-CN), Filed January 16, 2006, corresponding to PCT/US04/23099.	
/ESO/	2	Australian Office Action, December 4, 2008, for SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH and BIOTEC PHARMACON ASA, Australian Application No. 2008207369 (Atty. Dkt. #639-G-PCT-AU), Filed August 18, 2008, corresponding to PCT/US2007/001427.	
/ESO/	3	Indian First Examination Report, February 12, 2009, for SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH, Indian Application No. 186/MUMNP/2006 (Atty. Dkt. #639-C-PCT-IN), Filed February 15, 2006, corresponding to PCT/US04/23099.	
/ESO/	4	ALLENDORF et al., 2005, "C5a-Mediated Leukotriene B4-Amplified Neutrophil Chemotaxis Is Essential in Tumor Immunotherapy Facilitated by Anti-Tumor Monoclonal Antibody and β-Glucan", Journal of Immunology, 174:7050-7056.	
/ESO/	5	CHAN et al., 2007, "Response of human dendritic cells to different immunomodulatory polysaccharides derived from mushroom and barley", International Immunology, 19(7):891-899.	
/ESO/	6	CHEUNG et al., 1994, "Antibody Response to Murine Anti-GD2 Monoclonal Antibodies:Correlation with Patient Survival", Cancer Research, 54(8):2228-2233.	
/ESO/	7	CHEUNG et al., 2006, "FCGR2A Polymorphism Is Correlated With Clinical Outcome After Immunotherapy of Neuroblastoma With Anti-GD2 Antibody and Granulocyte Macrophage Colony-Stimulating Factor", Journal Clinical Oncology, 24(18):2885-2890.	
/ESO/	8	DHODAPKAR et al., 2002, "Antitumor Monoclonal Antibodies Enhance Cross-Presentation of Cellular Antigens and the Generation of Myeloma-specific Killer T Cells by Dendritic Cells", Journal Experimental Medicine, 195(1):125-133.	
/ESO/	9	DIAZ DE STAHL et al., 2003, "A role for complement in feedback enhancement of antibody responses by IgG3", Journal Experimental Medicine, 197(9):1183-1190.	
/ESO/	10	DILLMAN et al., 2001, "Monoclonal antibodies in the treatment of malignancy: Basic concepts and recent developments", Cancer Investigation, 19(8):833-841.	

Examiner Signature	/Eric Olson/	Date Considered	06/10/2009
--------------------	--------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO				<b>Complete if Known</b>	
				<b>Application Number</b>	10/565,484
				<b>Filing Date</b>	January 17, 2006
				<b>First Named Inventor</b>	CHEUNG, Nai-Kong V.
				<b>Art Unit</b>	1623
				<b>Examiner Name</b>	Eric Olson
Sheet	2	of	2	Attorney Docket Number	639-C-PCT-US

<b>OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS</b>				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		
/ESO/	11	GELDERMAN et al., 2004, "Complement function in mAb-mediated cancer immunotherapy", TRENDS in Immunology, 25(3):158-164.		
/ESO/	12	HONG et al., 2003, "β-Glucan Functions as an Adjuvant for Monoclonal Antibody Immunotherapy by Recruiting Tumoricidal Granulocytes as Killer Cells", Cancer Research, 63(24):9023-9031.		
/ESO/	13	IANNELLO et al., 2005, "Role of antibody-dependent cell-mediated cytotoxicity in the efficacy of therapeutic anti-cancer monoclonal antibodies", Cancer Metastasis, 24(4):487-499.		
/ESO/	14	IMAI et al., 2005, "Complement-Mediated Mechanisms in Anti-GD2 Monoclonal Antibody Therapy of Murine Metastatic Cancer", Cancer Research, 65(22):10562-10568.		
/ESO/	15	KUSHNER et al., 2001, "Phase II Trial of the Anti-GD2 Monoclonal Antibody 3F8 and Granulocyte-Macrophage Colony-Stimulating Factor for Neuroblastoma", Journal Clinical Oncology, 19(22):4189-94.		
/ESO/	16	LI et al., 2007, "Combined Yeast β-Glucan and Antitumor Monoclonal Antibody Therapy Requires C5a-Mediated Neutrophil Chemotaxis via Regulation of Decay-Accelerating Factor CD55", Cancer Research, 67:7421-7430.		
/ESO/	17	YAN et al., 2005, "Yeast whole glucan particle β-glucan in conjunction with antitumor monoclonal antibodies to treat cancer", Expert Opinion on Biological Therapy, 5(5):691-702.		
/ESO/	18	YOSHITOMI et al., 2005, "A role for fungal β-glucans and their Dectin-1 in the induction of autoimmune arthritis in genetically susceptible mice", Journal of Experimental Medicine, 201(6):949-960.		
/ESO/	19	ZHANG et al., 1998, "Antibodies against GD2 Ganglioside Can Eradicate Syngeneic Cancer Micrometastases", Cancer Research, 58(13):2844-2849.		

Examiner Signature	/Eric Olson/	Date Considered	06/10/2009
--------------------	--------------	-----------------	------------

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.